

APPLICATION FOR RECORDS RETENTION SCHEDULE

 GEORGIA DEPARTMENT OF HUMAN RESOURCES
 OFFICE OF ADMINISTRATIVE SERVICES
 RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES		ARCHIVES AND HISTORY	
Application Date 08-13-79		DHR Office of Regulatory Services Compliance Monitoring 618 Ponce de Leon Atlanta, Ga. 30334		Application Number 76-237-A	
Application Number 79-34				Date Received AUG 13 1979	
				Date Completed AUG 31 1979	
2. Person to Contact Tom Moody		Working Title Director		Telephone Number 894-5131	
3. Action Requested					
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>76-237</u> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void					
4. Dates of Series		5. Records Series Title (followed by title used in office, if different)			
Earliest	Latest	Service Client Service Discrimination Complaints Against Department & Providers			
6. Division and Office Function					
What is the function of the Division and the Office in which this record series is created?					
The Office of Regulatory Services has the responsibility to provide for the supervision and management of the Department's regulatory and quality control functions including medical care facilities, laboratory facilities, and child-caring and child-placing agencies and facilities; to insure objectivity in these activities; to facilitate communication and coordination; to enhance the Department's ability to develop policy on regulatory activities and move to a standardized approach for enforcement; to facilitate the development of interpretive guidelines and a consistent approach to interpretation of regulations; and to provide a mechanism to assist in the development of plans for future regulatory/quality assurance functions where needed.					
7. Records Series Description					
This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: investigations of complaints against DHR and its service providers by clients. (Civil Rights Act, 1964) Included are: letters and notices of complaint; notification of complaint against to respective Division/Office regarding provider verification; and where applicable, report of findings, conclusions and recommendations of on-site review.					
The file is arranged : alphabetically by name of principal person concerned.					
8. Monthly Reference Rate					
How often are records referred to which are:					
One to six months old _____ ; Seven to twelve months old _____ ; Thirteen to twenty-four months old _____ ; twenty-five months and older _____ ?					
9. Annual Rate of Accumulation or Records					
Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____					

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 15 years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____ then,

Upon final disposition of the charge of action place all papers in closed file at the end of each calendar year;

☒ Hold in the current files area _____ month(s) 10 year(s); then

☐ Transfer to local holding area; hold _____ year(s); then

☒ Transfer to State Records Center; hold 5 year(s); then

☒ Destroy

☐ Transfer to State Archives for permanent retention.

☒ Other (Specify) Records may be transferred to the State Records Center earlier if storage problems exist.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date												
	Aug 8 79	Will L. McDonald RMO	8-8-79												
<p>Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)</p> <table border="1"> <thead> <tr> <th></th> <th>State Records Committee (Signature)</th> <th>Date</th> </tr> </thead> <tbody> <tr> <td>State Auditor/Designee</td> <td></td> <td>8-25-79</td> </tr> <tr> <td>Secretary of State/Designee</td> <td>Carroll Hunt</td> <td>8-27-79</td> </tr> <tr> <td>Attorney General/Designee</td> <td></td> <td>8/20/79</td> </tr> </tbody> </table>					State Records Committee (Signature)	Date	State Auditor/Designee		8-25-79	Secretary of State/Designee	Carroll Hunt	8-27-79	Attorney General/Designee		8/20/79
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4171-11



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date July 6, 1976	1. Agency Address Georgia Department of Human Resources Office of State & Local Affairs Affirmative Action Unit - Room 408-S 47 Trinity Avenue, S. W. Atlanta, Georgia 30334	Application Number 76-237	
Application Number DHR- 81		Date Received JUL - 7 1976	Date Completed JUL 16 1976
2. Person to Contact Mrs. Charlotte Knowles		Working Title Stenographer III	Telephone Number 656-5669
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 1971	5. Records Series Title (followed by title used in office, if different) Title VI - Civil Rights Complaints Against Physicians and Dentists Files		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? <p>The Office of State and Local Coordination has the responsibility for coordinating the activities of the Department with the State Legislature; the Attorney General; the County Commissioners' Association; and the Municipal Association. In addition, this Office is responsible for the coordination of activities relating to rules and regulations that require Board approval of formal hearing; the coordination of the Department's efforts in providing disaster relief; and for working with the Office of Planning and Budget in maintaining a system for tracking legislation that affects the Department.</p> <p>The Affirmative Action and Civil Rights Unit has the responsibility to insure that equal employment opportunities and services are provided to all staff of the Department, and to clients who seek and receive services from the Department; and to establish a program of education oriented toward Title VI and Title VII compliance; and to investigate all complaints called to the attention of the Department regarding equal opportunity.</p>			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): <p>Documents relating to: investigating complaints against physicians and dentists charging discrimination with respect to medical services. (Civil Rights Act, 1964)</p> <p>Included are: letter of complaint (usually from DHEW); notification of complaint to respective Division/Office regarding vendor verification; where applicable, report of findings, conclusions, and recommendations of on-site review.</p> <p>File is arranged: alphabetically by last name of doctor.</p>			
8. Monthly Reference Rate One to six months old <u>15</u> ; Seven to twelve months old <u>10</u> ; Thirteen to twenty-four months old <u>5</u> ; twenty-five months and older <u>2-3</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers <u>1/3</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Privacy Act of 1974 - Public Law 93-579 (see attached page)
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	_____ years.
b. Statute of limitation	_____ years.	e. Administrative need	5 _____ years.
c. Federal law	_____ years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

Upon final disposition of the charge or action, place all papers in the closed file; cut off the closed file at the end of each calendar year; hold in current files area 3 years; transfer to State Records Center; hold 2 years; then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Mr. Meade Allen</i>	6/25/76	<i>Elizabeth Crank</i>	6/25/76
State Records Committee (Signature) _____ Date _____			
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>[Signature]</i>	7-14-76
	Secretary of State/Designee	<i>Carolee Hart</i>	7/13/76
	Attorney General/Designee	<i>[Signature]</i>	7-16-76